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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of) Group Art Unit:
Magdalena Blaszczyk-Thurin et al)
Appln. No.: 09/831,047) Examiner:
Filed: May 3, 2001)
For: COMPOSITIONS AND METHODS FOR) October 24, 2001
TREATMENT OF CANCER)

Assistant Commissioner for Patents
Washington, DC 20231

Attn: Application Division

Sir:

This is in timely response to the Notification of Defective Response; the Notice being dated October 15, 2001.

The above-identified patent application was filed on May 3, 2001 with a computer-readable diskette and paper copy of the sequence listing. Copies of Applicants' transmittal letter and return receipt postcard are attached as Exhibit A.

A Notification of Missing Requirements dated June 15, 2001 was received by the undersigned on June 18, 2001 (herewith submitted as Exhibit B).

CERTIFICATE UNDER 37 CFR §1.8(a)

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: the Assistant Commissioner for Patents, Washington, DC 20231 on October 24, 2001

Signature [Signature]
Typed or printed name Debra N. Gerstemeier

No Sequence Listing Error Report was received with this Notice. The undersigned attorney confirmed with Examiner Shelby Vigil during a telephone conference that only the diskette was missing from the materials filed with the application on May 3, 2001. Therefore, the undersigned attorney simply re-submitted a substitute computer readable diskette containing the sequence listing in a response to same on July 25, 2001 that was received by the U. S. Patent and Trademark Office Mailroom on July 30, 2001 (herewith submitted as Exhibit C).

In a telephonic status inquiry to the U. S. Patent and Trademark Office on August 14, 2001 Applicants and the undersigned attorney were advised that their response of July 30, 2001 was not received and made of record. Thus, the undersigned attorney once again re-submitted their response of July 30, 2001 on August 14, 2001 by the U. S. Express Mail Service to the U. S. Patent and Trademark Office as evidenced by the attached Exhibit D.

Applicants and the undersigned attorney subsequently received yet another Notification of Missing Requirements dated August 31, 2001 (herewith submitted as Exhibit E). This Notice contained a Sequence Listing Error Report. Applicants and the undersigned attorney corrected the reference to Xaa in the Sequence Listing and filed yet another response including a substitute Sequence Listing in computer readable form as well as a substitute paper copy of same. This Response was filed by the U. S. Express Mail Service to the U. S. Patent and Trademark Office on October 16, 2001 as evidenced by the attached Exhibit F.

Applicants have subsequently received a new Notification of Defective Response dated October 15, 2001 (herewith attached as Exhibit G) previously mentioned above and which has simply crossed in the mail with Applicants latest Response.

Applicants and the undersigned attorney respectfully request that the above Response filed on October 16, 2001 be entered and made of record as it is believed that this Response is in full compliance with the latest Notification of October 15, 2001. Applicants and the undersigned attorney also would like to bring to the attention of Examiner Shelby Vigil the U. S. Patent and Trademark Office error in the

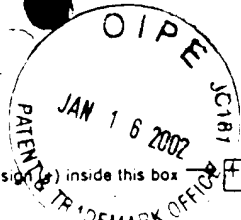
filing date information indicated as June 30, 2001 on the computer-readable printout received with the Notification dated October 15, 2001. The above-identified patent application was filed on May 3, 2001 as evidenced by the attached Exhibit A. The Response filed October 16, 2001 and the computer readable diskette and paper copy of the Sequence Listing correctly identify the May 3, 2001 filing date.

The Examiner is respectfully invited to contact the undersigned attorney to discuss any further requirements necessary to complete the initial filing of the above-identified patent application.

Respectfully submitted,

HOWSON AND HOWSON
Attorneys for the Applicants

By _____
Mary E. Bak
Registration No. 31,215
Spring House Corporate Center
Box 457
Spring House, PA 19477
Telephone: (215) 540-9206
Telefacsimile: (215) 540-5818

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Please type a plus sign (+) inside this box ☐

MAY 21 2001 PTO/SB/21 (08-00)

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U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	09/831,047	
	Filing Date	May 3, 2001	
	First Named Inventor	Magdalena Blaszczyk-Thurin	
	Group Art Unit		
	Examiner Name		
Total Number of Pages in This Submission	7	Attorney Docket Number	WST93AUSA

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Reply	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	2 pp. Letter
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	2 pp. Form Pct/Do/EO/905
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	1 Diskette
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application		1 copy of postcard
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	Remarks	

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	HOWSON AND HOWSON Mary E. Bak
Signature	<i>Mary E. Bak</i>
Date	July 25, 2001

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: 7-25-01			
Typed or printed name	Lynn Brown		
Signature	<i>Lynn Brown</i>	Date	July 25, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



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PATENT

Serial No. _____ Doc. No. WST93AUA Att. Sec. MS/16 Date 5-3-01
Inventor Magdalena Bluszcz-Tam Client WST/16
Title Compositions and Methods for Treatment of Cancer

- The following has been received in the U.S. Patent and Trademark Office on the date stamped hereon:
- | | | | |
|---|---|--|---|
| <input checked="" type="checkbox"/> <u>36</u> | pp. Spec. <u>176</u> Claims <u>176</u> Abstract | <input type="checkbox"/> | pp. Amendment: OA dtd. _____ |
| <input checked="" type="checkbox"/> <u>4</u> | pp. Declaration/Power of Attorney | <input type="checkbox"/> | pp. Response: OA dtd. _____ |
| <input type="checkbox"/> | pp. Verified Statement (Small Entry) | <input checked="" type="checkbox"/> <u>3</u> | pp. Issue Fee |
| <input type="checkbox"/> | shts. Informal Drawings | <input type="checkbox"/> | Notice of Appeal & Fee |
| <input checked="" type="checkbox"/> <u>3</u> | shts. Formal Drawings (<u>encl-5</u>) | <input checked="" type="checkbox"/> | Check # <u>16536</u> for \$ <u>796.00</u> |
| <input type="checkbox"/> | pp. Assignment | <input checked="" type="checkbox"/> | Check # <u>16537</u> for \$ <u>0.00</u> |
| <input checked="" type="checkbox"/> <u>2</u> | pp. Preliminary Amendment <u>A</u> | <input checked="" type="checkbox"/> | <u>3</u> pp. <u>Final</u> <u>Box</u> <u>Attachment - Appendix A</u> |
| <input type="checkbox"/> | pp. Extension of Time | <input checked="" type="checkbox"/> | <u>36</u> pp. <u>Sequence List</u> |
| <input type="checkbox"/> | pp. Information Disclosure Statement | <input checked="" type="checkbox"/> | <u>1</u> <u>pp. Statement</u> |
| <input type="checkbox"/> | with PTO-1449 and _____ references | <input checked="" type="checkbox"/> | <u>1</u> <u>pp. Diskette</u> |

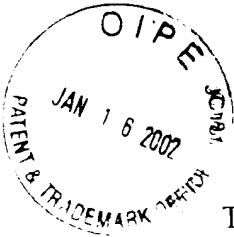
09/831047

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Respectfully,
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Express Mail No
ET03364910245

JC17 Rec'd PCT/PTO 03 MAY 2001
MS

Exhibit A



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PATENT TRADEMARK OFFICE

Attorney's Docket No.: WST93AUSA

TRANSMITTAL LETTER TO THE U.S. ELECTED OFFICE
(EO/US) - ENTRY INTO NATIONAL STAGE UNDER 35 USC 371

PCT/US99/26277

International Application No.

5 November 1999

International Filing Date

6 November 1998

Priority Date Claimed

COMPOSITIONS AND METHODS FOR TREATMENT OF CANCER

Title of Invention

Magdalena Blaszczyk-Thurin and Thomas Kieber-Emmons

Applicant(s) for EO/US

Box PCT
Assistant Commissioner for Patents
Washington, DC 20231
Attn: EO/US

Sir

Applicant herewith submits to the United States Elected Office
(EO/US) the following items under 35 USC 371:

- (1) This express request to immediately begin national examination procedures (35 USC 371(f)).
- (2) A copy of the cover sheet for the published International Application along with a copy of the specification as filed: 106 pages, including 7 pages of claims, 5 sheets of drawings, 36 pages of Sequence Listing, and a copy of the 1 page International Search Report.
- (3) a copy of the 5 page Request form.
- (4) a first Preliminary Amendment for entry prior to calculation of the filing fees.
- (5) our check in the amount of \$796.00, covering the basic national fee as set forth in 37 CFR 1.492(a)(1) and based on the first Preliminary Amendment (39 total claims; 10 independent; and no multiple dependent).

Express Mail No. ET 033649102 US

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- (6) A Second Preliminary Amendment.
- (7) Our check in the amount of \$18.00, covering the extra claim fees after entry of the second Preliminary Amendment (41 total claims; 10 independent; and no multiple dependent).
- (8) Two (2) (4 pages) executed Combined Declaration and Power of Attorney forms.
- (9) A 36 pages Sequence Listing (provided in specification).
- (10) A 3.5" computer-readable diskette.
- (11) A 1 page Statement under 37 CFR §1.821(f) and §1.825(a) and (b).

Copies of the following miscellaneous items are also enclosed:

- (12) Copy of the 4 page Demand for International Preliminary Examination.
- (13) Copy of the 4 page Written Opinion.
- (14) Copy of the 5 page International Preliminary Examination Report.

Please charge any additional fees which may be required to effect entry into the National Phase and credit any overpayment to Deposit Account No. 08-3040.

Please direct all communications concerning this application to the undersigned.

Respectfully submitted,

HOWSON AND HOWSON
Attorneys for the Applicants

By Mary E. Bak
Mary E. Bak
Registration No. 31,215
Spring House Corporate Center
Box 457
Spring House, PA 19477
Telephone: (215) 540-9206
Telefacsimile: (215) 540-5818



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Washington, D.C. 20231
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APPLICATION NO. 09/831047 FIRST NAMED APPLICANT BLASZCZYK-THURIN M ATTY. DOCKET NO. WST93AUSA
INTERNATIONAL APPLICATION NO. PCT/US99/26277

HOWSON AND HOWSON
ONE SPRING HOUSE CORPORATION CENTER
BOX 457
321 NORRISTOWN ROAD
SPRING HOUSE, PA 19477

FILED DATE 05 NOV 99 PRIORITY DATE 06 NOV 98

DATE MAILED 15 JUN 2001

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

1. The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as ☐ a Designated Office (37 CFR 1.494) ☒ an Elected Office (37 CFR 1.495)

ENTERED
DUE 8-15-01

- ☒ U.S. Basic National Fee.
- ☒ Copy of the international application.
- ☒ Oath or Declaration of inventor(s).
- ☒ Copy of Article 19 amendments.
- ☒ Priority Document.
- ☒ The International Preliminary Examination Report in English and its Annexes, if any.
- ☒ Translation of Annexes to the International Preliminary Examination Report into English.
- ☐ Indication of Small Entity Status.
- ☐ Translation of the international application into English.
- ☐ Translation of Article 19 amendments into English.
- ☐ Other:

2. Applicant has requested early processing under 35 U.S.C. 371(f) but has not filed the following indicated items and/or the indicated items in paragraph 3 below. The Basic National Fee and the copy of the international application must be filed prior to 20 or 30 months from the priority date to avoid abandonment.

- ☐ U.S. Basic National Fee.
- ☐ Copy of the international application.

3. The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- ☐ a. Translation of the application into English. A processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date.
- ☐ The current translation is defective for the reasons indicated on the attached Notice of Defective Translation.
- ☐ b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)).
- ☐ c. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), properly identifying the application (preferably by the International application number and international filing date). A surcharge will be required if submitted later than the appropriate 20 or 30 months from the priority date.
- ☐ The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO-917.
- ☐ d. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).

4. Additional claim fees of \$_____ as a ☐ large entity ☐ small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due (37 CFR 1.492(g)). See attached PTO-875.

5. ☒ Applicant has not submitted the required sequence listing pursuant to 37 CFR 1.821-1.825. See attached PCT DO EO 920.

ALL OF THE ITEMS SET FORTH IN 3(a)-3(d), 4 AND 5 ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 22 OR 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

- 6. If box 3a or 3c is checked, a translation of the Annexes **MUST** be submitted no later than the time period set above or the Annexes will be cancelled. A processing fee will be required if submitted later than 20 or 30 months from the priority date.
- 7. The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 1.494(d)) or 30 (37 CFR 1.495(d)) months from the priority date.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5).

A copy of this notice MUST be returned with this response.

- Enclosed: PCT DO EO 917 ☐ Notice of Defective Translation
- PTO-875 ☒ PCT DO EO 920

SHELBY VIGIL, PARALEG

Telephone 703-305-3653

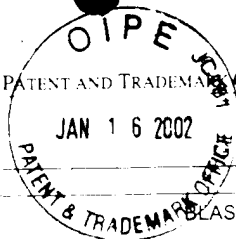
FORM PCT DO EO 905 (March 2001)

SVW

Exhibit B



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United States Patent and Trademark Office
Washington, D.C. 20501
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APPLICATION NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/831047	BLASZCZYK-THURIN	M WST93AUSA
INTERNATIONAL APPLICATION NO.		
PCT/US99/26277		
U.S. FILING DATE	PRIORITY DATE	
05 NOV 99	06 NOV 98	

HOWSON AND HOWSON
ONE SPRING HOUSE CORPORATION CENTER
BOX 457
321 NORRISTOWN ROAD
SPRING HOUSE, PA 19477

DATE MAILED

15 JUN 2001

**NOTIFICATION TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS
CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE
DISCLOSURES**

DUE 8-15-01

Applicant has submitted papers under 35 U.S.C. 371 to enter the national stage in the United States of America. The items indicated below, however, are missing. The period within which to correct the deficiency noted below and avoid abandonment is set forth in the accompanying Notification.

The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 CFR 1.821-1.825 for the following reason(s):

- ☐ The application fails to comply with the requirements of 37 CFR 1.821-1.825.
- ☒ This application does not contain, a "Sequence Listing" as a separate part of the disclosure on paper copy or compact disc, as required by 37 CFR 1.821(c).
- ☐ A copy of the "Sequence Listing" in computer readable format has not been submitted as required by 37 CFR 1.821(e).
- ☐ A copy of the "Sequence Listing" in computer readable form has been submitted. The content of the computer readable form, however, does not comply with the requirements of 37 CFR 1.822 and/or 1.832, as indicated on the attached marked-up copy of the "Raw Sequence Listing."
- ☐ The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A substitute computer readable form must be submitted as required by 37 CFR 1.825(d).
- ☐ The paper copy or compact disc of the "Sequence Listing" is not the same as the computer readable form of the "Sequence Listing" as required by 37 CFR 1.821(e).
- ☐ Other: _____

APPLICANT MUST PROVIDE:

- ☐ An initial or substitute computer readable form (CRF) of the "Sequence Listing."
- ☒ An initial or substitute paper copy or compact disc of the "Sequence Listing," as well as an amendment directing its entry into the specification.
- ☐ A statement that the contents of the paper or compact disc and the computer readable form are the same and, where applicable, include no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b) or 1.825(d).

FOR QUESTIONS REGARDING COMPLIANCE WITH THESE REQUIREMENTS, PLEASE CALL:

- (703) 308-4216, for Rules interpretation.
- (703) 308-4212, for CRF submission help.
- (703) 287-0200, for PatentIn software help.

SHELBY VIGIL, PARALEG

Telephone: 703-305-3653

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PATENT

Serial No 09/831047 Doc No Wst93AUSA Att. Sec MEB/1b Date 7-25-01

Inventor Magdalena Blaszczak-Thurin Client Wistar

Title Compositions and Methods for Treatment of Cancer

The following has been received in the U.S. Patent and Trademark Office on the date stamped hereon.

☐ pp Spec. ☐ Claims ☐ Abstract ☐ pp Amendment OA dtd ☐
☐ pp Declaration/Power of Attorney ☐ pp Response OA dtd ☐
☐ pp Verified Statement (Small Entry) ☒ 1 pp Transmittal Letter
☐ shts Informal Drawings ☐ Issue Fee
☐ shts Formal Drawings ☐ Notice of Appeal & Fee
☐ pp Assignment Check # ☐ for \$ ☐
☐ pp Preliminary Amendment ☒ 2 pp Letter
☐ pp Extension of Time ☒ 2 pp copy of Notice of missing
☐ pp Information Disclosure ☒ Requirements Form PCT/DO/EO/905
with PTO-1449 and ☐ references ☒ 1 Diskette

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Respectfully,
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Exhibit C

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14 AUG 2001

JG20 Rec'd PCT/PTO

PATENT

Serial No. 09/831,042 Doc. No. WST 93AUSA Atty/Sec MEB/16 Date 8-14-01
Inventor Majdalena Bieszczyk-Thurin Client Wistar
Title Compositions and Methods For Treatment of Cancer
The following has been received in the U.S. Patent and Trademark Office on the date stamped hereon:
____ pp. Spec. _____ Claims _____ Abstract _____ pp. Amendment: OA dtd _____
____ pp. Declaration/Power of Attorney _____ pp. Response: OA dtd _____
____ pp. Verified Statement (Small Entry) _____ 1 pp. Transmittal Letter
____ shts. Informal Drawings _____ Issue Fee _____
____ shts. Formal Drawings _____ Notice of Appeal & Fee _____
____ pp. Assignment _____ Check # _____ for \$ _____
____ pp. Preliminary Amendment _____ 2 pp. Letter
____ pp. Extension of Time _____ 2 pp. Form PCT/Do/Eq/905
____ pp. Information Disclosure Statement _____ 1 Discrete
with PTO-1449 and _____ references 1 copy of postcard

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HOWSON AND HOWSON

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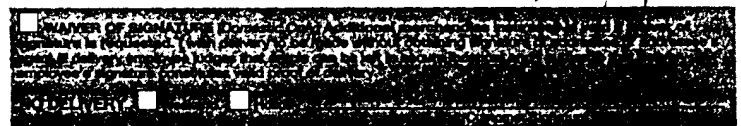
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Date In Mo. <u>11</u> Day <u>11</u> Year <u>01</u>	<input type="checkbox"/> 12 Noon <input type="checkbox"/> 3 PM	Postage \$ <u>3.00</u>
Time In <input type="checkbox"/> AM <input checked="" type="checkbox"/> PM	Military <input type="checkbox"/> 2nd Day <input type="checkbox"/> 3rd Day	Return Receipt Fee \$ _____
Weight lbs. <u>1.12</u> ozs. <u>023</u>	Int'l Alpha Country Code	COD Fee \$ _____
No Delivery <input type="checkbox"/> Weekend <input type="checkbox"/> Holiday	Acceptance Clerk Initials	Insurance Fee \$ _____
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ZIP + 4 <u>2</u> <u>0</u> <u>2</u> <u>3</u> <u>0</u> <u>0</u>		Exhibit D	

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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	09/831,047	
	Filing Date	May 3, 2001	
	First Named Inventor	Magdalena Blaszczyk-Thuin	
	Group Art Unit		
	Examiner Name		
Total Number of Pages in This Submission	7	Attorney Docket Number	WST93AUSA

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Reply	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	2 pp. Letter
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	2 pp. Form PCT/Do/Eo/905
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	1 Diskette
<input type="checkbox"/> Response to Missing Parts/Incomplete Application	Remarks	1 Copy of postcard
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	HOWSON AND HOWSON Mary E. Bak
Signature	<i>Mary E. Bak</i>
Date	August 14, 2001

CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: <input type="text"/>	
Typed or printed name	
Signature	Date

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

EXPRESS MAIL NO. ET 033619074 US



00270

PATENT TRADEMARK OFFICE

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of

Magdalena Blaszczyk-Thurin et al.

Appln No. 09/831,047

Filed: May 3, 2001

For: COMPOSITIONS AND METHODS
FOR TREATMENT OF CANCER

)Group Art Unit:

)Examiner:

)August 14, 2001

Assistant Commissioner for Patents

Washington, DC 20231

Attn: Shelby Vigil, Paralegal

LETTER

Sir:

In response to the Notification to Comply with Requirements for Patent Applications Containing Nucleotide Sequence and/ or Amino Acid Sequence Disclosures in the above-identified application, dated June 15, 2001, attached please find:

- (a) the requested diskette, with the Sequence Listing in computer readable format as required by 37 CFR 1.821 (e);
- (b) a copy of this Notice; and
- (c) a copy of the USPTO receipt-stamped postcard providing evidence that the diskette was originally filed with the application.

In a telephone conference with Shelby Vigil, Applicant was advised that only the diskette was missing from the materials filed with the application on May 3, 2001.

The substitute computer readable diskette contains the same content as the paper copy of the Sequence Listing filed with the application on May 3, 2001. No new matter is contained on this diskette. Please enter this computer readable diskette into the application file. If further information is needed, the examiner or paralegal is requested to notify the undersigned at 215 540 9206.

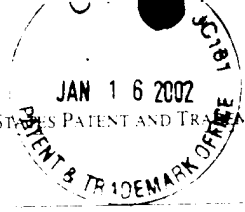
The Director is hereby authorized to charge any deficiency or credit any overpayment in any fee due with this paper to our deposit account number 08-3040.

Respectfully submitted,
HOWSON AND HOWSON
Attorneys for the Applicants

By Mary E. Bak
Mary E. Bak
Registration No. 31,215
Spring House Corporate Center
Box 457
Spring House, PA 19477
Telephone: (215) 540-9200
Telefacsimile: (215) 540-5818



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Address: Bureau for Patents, Box 907
United States Patent and Trademark Office
Washington, D.C. 20231
www.uspto.gov

APPLICATION NO. 09/831047 FIRST NAMED APPLICANT BLASZCZYK-THURIN ATTORNEY DOCKET NO. M WST93AUSA

INTERNATIONAL APPLICATION NO.

PCT/US99/26277

HOWSON AND HOWSON
ONE SPRING HOUSE CORPORATION CENTER
BOX 457
321 NORRISTOWN ROAD
SPRING HOUSE, PA 19477

FILED DATE 05 NOV 99 PRIORITY DATE 06 NOV 98

DATE MAILED 31 AUG 2001

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

1. The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated Office (37 CFR 1.494) ☒ an Elected Office (37 CFR 1.495):

- ☒ U.S. Basic National Fee.
- ☒ Copy of the international application.
- ☒ Oath or Declaration of inventors(s).
- ☐ Copy of Article 19 amendments.
- ☐ Priority Document.
- ☐ The International Preliminary Examination Report in English and its Annexes, if any.
- ☐ Translation of Annexes to the International Preliminary Examination Report into English.
- ☐ Indication of Small Entity Status.
- ☐ Translation of the international application into English.
- ☐ Translation of Article 19 amendments into English.
- ☐ Other:

2. ☐ Applicant has requested early processing under 35 U.S.C. 371(f) but has not filed the following indicated items and/or the indicated items in paragraph 3 below. The Basic National Fee and the copy of the international application must be filed prior to 20 or 30 months from the priority date to avoid abandonment.

- ☐ U.S. Basic National Fee.
- ☐ Copy of the international application

3. The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- ☐ a. Translation of the application into English. A processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date. The current translation is defective for the reasons indicated on the attached Notice of Defective Translation.
 - ☐ b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)).
 - ☐ c. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), properly identifying the application (preferably by the International application number and international filing date). A surcharge will be required if submitted later than the appropriate 20 or 30 months from the priority date. The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO 917.
 - ☐ d. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).
4. Additional claim fees of \$_____ as a ☐ large entity ☐ small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due (37 CFR 1.492(g)). See attached PTO-875.

5. ☒ Applicant has not submitted the required sequence listing pursuant to 37 CFR 1.821-1.825. See attached PCT/DO/EO 920.

ALL OF THE ITEMS SET FORTH IN 3(a)-3(d), 4 AND 5 ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 22 OR 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

- 6. If box 3a or 3c is checked, a translation of the Annexes **MUST** be submitted no later than the time period set above or the Annexes will be cancelled. A processing fee will be required if submitted later than 20 or 30 months from the priority date.
- 7. ☐ The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 1.494(d)) or 30 (37 CFR 1.495(d)) months from the priority date.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5).

A copy of this notice MUST be returned with this response.

Enclosed: PCT/DO/EO 917 Notice of Defective Translation
PTO-875 PCT/DO/EO 920

SHELBY VIGIL, PARALEG

FORM PCT/DO/EO 905 (March 2001)

Telephone 703-305-3653

TECH CENTER 1600 2907

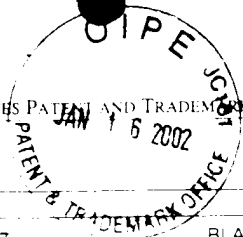
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Exhibit E



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APPLICATION NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09.831047	BLASZCZYK-THURIN	M WST93AUSA
INTERNATIONAL APPLICATION NO.		
PCT/US99/26277		
FILED DATE	PRIORITY DATE	
05 NOV 99	06 NOV 98	
DATE MAILED		

HOWSON AND HOWSON
ONE SPRING HOUSE CORPORATION CENTER
BOX 457
321 NORRISTOWN ROAD
SPRING HOUSE, PA 19477

NOTIFICATION TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES

Applicant has submitted papers under 35 U.S.C. 371 to enter the national stage in the United States of America. The items indicated below, however, are missing. The period within which to correct the deficiency noted below and avoid abandonment is set forth in the accompanying Notification.

The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 CFR 1.821-1.825 for the following reason(s):

- ☐ The application fails to comply with the requirements of 37 CFR 1.821-1.825.
- ☐ This application does not contain, a "Sequence Listing" as a separate part of the disclosure on paper copy or compact disc, as required by 37 CFR 1.821(c).
- ☐ A copy of the "Sequence Listing" in computer readable format has not been submitted as required by 37 CFR 1.821(e).
- ☒ A copy of the "Sequence Listing" in computer readable form has been submitted. The content of the computer readable form, however, does not comply with the requirements of 37 CFR 1.822 and/or 1.832, as indicated on the attached marked-up copy of the "Raw Sequence Listing."
- ☐ The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A substitute computer readable form must be submitted as required by 37 CFR 1.825(d).
- ☐ The paper copy or compact disc of the "Sequence Listing" is not the same as the computer readable form of the "Sequence Listing" as required by 37 CFR 1.821(e).
- ☐ Other: _____

APPLICANT MUST PROVIDE:

- ☐ An initial or substitute computer readable form (CRF) of the "Sequence Listing."
- ☒ An initial or substitute paper copy or compact disc of the "Sequence Listing," as well as an amendment directing its entry into the specification.
- ☐ A statement that the contents of the paper or compact disc and the computer readable form are the same and, where applicable, include no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b) or 1.825(d).

FOR QUESTIONS REGARDING COMPLIANCE WITH THESE REQUIREMENTS, PLEASE CALL:

- (703) 308-4216, for Rules interpretation.
- (703) 308-4212, for CRF submission help.
- (703) 287-0200, for PatentIn software help.

SHELBY VIGIL, PARALEG

Telephone: 703-305-3653



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MAY 21 2002

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WST93AUSA

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of) Group Art Unit:
Magdalena Blaszczyk-Thurin *et al*) Examiner:
Appln. No.: 09/831047)
Filed: May 3, 2001)
For: COMPOSITIONS AND METHODS) July 25, 2001
FOR TREATMENT OF CANCER)

Assistant Commissioner for Patents
Washington, DC 20231
Attn: Shelby Vigil, Paralegal

LETTER

Sir:

In response to the Notification to Comply with Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures in the above-identified application, dated June 15, 2001, attached please find:

- (a) the requested diskette, with the Sequence Listing in computer readable format as required by 37 CFR 1.821(e);
- (b) a copy of this Notice; and
- (c) a copy of the USPTO receipt-stamped postcard providing evidence that the diskette was originally filed with the application.

CERTIFICATE UNDER 37 CFR 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Assistant Commissioner for Patents, Washington, DC 20231 on July 25, 2001.

Signature

Lynn Brown

Typed Printed Name: LYNN BROWN

In a telephone conference with Shelby Vigil, Applicant was advised that only the diskette was missing from the materials filed with the application on May 3, 2001.

The substitute computer readable diskette contains the same content as the paper copy of the Sequence Listing filed with the application on May 3, 2001. No new matter is contained on this diskette. Please enter this computer readable diskette into the application file. If further information is needed, the examiner or paralegal is requested to notify the undersigned at 215 540 9206.

The Director is hereby authorized to charge any deficiency or credit any overpayment in any fee due with this paper to our deposit account number 08-3040.

Respectfully submitted,

HOWSON AND HOWSON
Attorneys for Applicant

By Mary E. Bak
Mary E. Bak
Registration No. 31,215
Spring House Corporate Center
Box 457
Spring House, PA 19477
(215) 540-9200

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MAY 2 1 2001

PATENT
Serial No. 09/831,047 Doc. No. WST93AUSA Atty/Sec. TECH BE Date October 16, 2001
Inventor BLASZCZYK-Thorneta Client WINTER INSTITUTE
Title COMPOSITIONS AND METHODS FOR TREATMENT OF CANCER
The following has been received in the U.S. Patent and Trademark Office on the date stamped hereon:
____ pp. Spec. ____ Claims. ____ Abstract ____ pp. Amendment: OA dtd ____
____ pp. Declaration/Power of Attorney ____ pp. Response: OA dtd ____
____ pp. Verified Statement (Small Entry) ☒ 2 pp. Transmittal Letter
____ shts. Informal Drawings ____ Issue Fee
____ shts. Formal Drawings ____ Notice of Appeal & Fee
____ pp. Assignment ____ Check # ____ for \$ ____
____ pp. Preliminary Amendment ☒ SEQUENCE LISTING ON DISKETTE
____ pp. Extension of Time ☒ 27 PP SEQUENCE LISTING
____ pp. Information Disclosure Statement ☒ COPY OF NOTIFICATION
with PTO-1449 and ____ references

The Patent and Trademark Office is respectfully requested to place its stamp on this postal card and place it in the outgoing mail.

Respectfully,
HOWSON AND HOWSON

ET 033633632 US



UNITED STATES POSTAL SERVICE

POST OFFICE TO ADDRESSEE

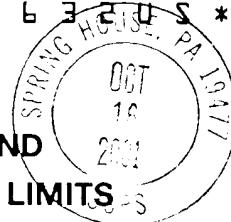


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☐ **NO DELIVERY** ☐ Weekend ☐ Holiday

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FROM: (PLEASE PRINT) Howson and Howson Spring House Corporate Center P.O. Box 457 Spring House, PA 19177	PHONE (212) 510-4200	TO: (PLEASE PRINT) Assistant Commissioner for Patents Washington, DC 20231	PHONE ()
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Exhibit F

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of) Group Art Unit:
Blaszczyk-Thurin et al) Examiner:
Appln. No. 09/831,047)
Filed: May 3, 2001)
For: COMPOSITIONS AND METHODS)
FOR TREATMENT OF CANCER) October 16, 2001

Assistant Commissioner for Patents
Washington, DC 20231

AMENDMENT AND STATEMENT PURSUANT TO 37 CFR §1.821(f) and (g)

Pursuant to the attached notice received from the U.S. Patent and Trademark Office that the computer-readable diskette containing the "Sequence Listing" as submitted does not comply with the requirements of 37 CFR §1.822 and/or 1.832, Applicants herewith submit a substitute Sequence Listing in computer readable form and a substitute paper copy of the Sequence Listing as required by 37 CFR §1.821-1.825.

Please enter the substitute computer readable form and attached substitute paper copy of the Sequence Listing into this application.

EXPRESS MAIL NO. ET 033633632 US

As required by 37 CFR §1.821(f), this statement affirms that to the best of my knowledge and belief that the Sequence Listing information recorded in the substitute computer readable form is identical to the substitute paper copy of the Sequence Listing. As required by 37 CFR §1.821(g), this statement affirms that to the best of my knowledge and belief this substitute Sequence Listing presents no new matter to the application as filed.

Respectfully submitted,

HOWSON AND HOWSON
Attorneys for the Applicants

By Mary E. Bak
Mary E. Bak
Registration No. 31,215
Spring House Corporate Center
Box 457
Spring House, PA 19477
(215) 540-9200



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TECH CENTER 1600-2200

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09 831,047	Magdalena Blaszczyk-Thurin	WST93AUS

00270
HOWSON AND HOWSON
ONE SPRING HOUSE CORPORATION CENTER
BOX 457
321 NORRISTOWN ROAD
SPRING HOUSE, PA 19477

PCT US 99 26277	
EXAMINER	PROSECUTOR
11 05 1999	

CONFIRMATION NO. 8220

371 FORMALITIES LETTER



0000070006888724

Date Mailed: 10/15/2001

NOTIFICATION OF DEFECTIVE RESPONSE

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as an Elected Office (37 CFR 1.495)

- U.S. Basic National Fee
- Indication of Small Entity Status
- Biochemical Sequence Diskette
- Biochemical Sequence Listing
- Copy of IPE Report
- Copy of references cited in ISR
- Copy of the International Application
- Copy of the International Search Report
- Information Disclosure Statements
- Oath or Declaration
- Preliminary Amendments
- Request for Immediate Examination
- Small Entity Statement

Applicant is required to complete the response within a time limit of ONE MONTH from the date of this Notification or within the time remaining in the response set forth in the Notification of Missing Requirements, whichever is the longer. No extension of this time limit may be granted under 37 CFR 1.136, but the period for response set in the Notification of Missing Requirements may be extended up to a maximum of six months.

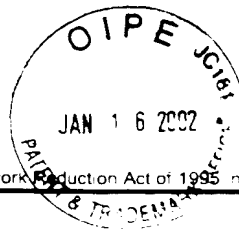
Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5).

SHT BY J VIGIL

Telephone: (703) 305-3653

*Call after 20~
6/1/02*

Exhibit G



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Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number

09/831,047

Filing Date

05/03/2001

First Named Inventor

Magdalena Blaszczyk-Intern

Group Art Unit

Examiner Name

Total Number of Pages in This Submission

23

Attorney Docket Number

WST93AUSA

ENCLOSURES (check all that apply)

☐ Fee Transmittal Form

☐ Fee Attached

☐ Amendment / Reply

☐ After Final

☐ Affidavits/declaration(s)

☐ Extension of Time Request

☐ Express Abandonment Request

☐ Information Disclosure Statement

☐ Certified Copy of Priority Document(s)

☒ Response to Missing Parts/
Incomplete Application

☐ Response to Missing Parts
under 37 CFR 1.52 or 1.53

☐ Assignment Papers
(for an Application)

☐ Drawing(s)

☐ Licensing-related Papers

☐ Petition

☐ Petition to Convert to a
Provisional Application

☐ Power of Attorney, Revocation
Change of Correspondence
Address

☐ Terminal Disclaimer

☐ Request for Refund

☐ CD, Number of CD(s) _____

☐ After Allowance Communication
to Group

☐ Appeal Communication to Board
of Appeals and Interferences

☐ Appeal Communication to Group
(Appeal Notice, Brief, Reply Brief)

☐ Proprietary Information

☐ Status Letter

☐ Other Enclosure(s) (please
identify below):

Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm
or
Individual name

Mary E. Bak, Esquire
Howson and Howson

Signature

Date

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date:

10/24/2001

Typed or printed name

Debra N. Gerstemeier

Signature

Date

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

First Class Mail

HOWSON & HOWSON
SPRING HOUSE CORPORATE CENTER
BOX 457
SPRING HOUSE, PA 19477

To: _____

Assistant Commissioner for Patents
Washington, DC 20231

ATTN: Application Division